# Documentation Requirement for Transmission of Securities under Quick Transmission Processing (QTP) category for very low holding Valuation below Rs.30,000/-) where no nomination claims by immediate relatives (parents, spouse, children, parents-in-law)

**Documentation Checklist**

| Sr.No. | Document required | Where No Nomination (Documents required from claimant - Immediate Relatives (duly signed / executed) |
|---|---|---|
| 1 | Quick Transmission_process (QTP) Form- **Annexure 2** | on a plain paper along with a document establishing relationship between the claimant(s) and the deceased security holder(s) |
| 2 | Latest Client Master List (CML) of the claimant's demat account | ✓ |
| 3 | Original / Copy of Death Certificate duly attested by Notary Public/Gazetted Officer/ Judicial Magistrate 1$^{st}$ Class and also attested by claimant /legal heir | ✓ |
| 4 | Original Demat Statement duly attested by claimant /legal heir | ✓ |
| 5 | Copy of Birth Certificate or School leaving certificate/ Passport or Aadhaar attested by guardian (in case the claimant/legal heir is a minor) | ✓ |
| 6 | KYC of the Guardian (in case of claimant/legal heir being a minor / of unsound mind) | ✓ |
| 7 | PAN card copy of the deceased holder duly attested by claimant / legal heir | ✓ |
| 8 | Declaration Form along with self-attested PAN card copy and aadhar card of claimant / legal heir | ✓ |

| For de-activation of deceased holder PAN in KRA | | |
|---|---|---|
| PAN card copy of the deceased holder duly attested by claimant / legal heir | ✓ | ✓ |
| Declaration Form along with self-attested PAN card copy and aadhar card of claimant / legal heir. | ✓ | ✓ |

**Note:**

- In cases involving death of an investor outside India, 'proof of death' document is issued by an authority outside the country. In such cases, the entity shall accept the certified true copy of the document issued for 'proof of death', certified in the country of its issuance through any one of the following modes:
  – Court Magistrate or Judge or Notary Public in the country of issuance
  – Consularisation by Indian Embassy/ Consulate General in the country of issuance
  – apostilled
  – Certification by authorised officials of overseas branches of Scheduled Commercial Banks registered in India.
  – Certification by authorised officials of branches of overseas banks with whom Indian banks have correspondent banking relationships.
- In case the original death certificate is issued in a language other than English, the claimant shall also submit a self-certified copy of translation of death certificate into English along with certified copy of the original death certificate.

# Documentation Requirement under simplified category for Transmission of Securities for holding valuation above Rs.30,000/- up to Rs.30 Lacs

**Documentation Checklist**

| Sr. No. | Document required | Where No Nomination (Documents required from claimant (duly signed / executed) | Where Nomination has been made |
|---|---|---|---|
| 1 | Transmission request form- **Annexure 3** | ✓ | ✓ |
| 2 | Latest Client Master Report (CMR) of the nominee /surviving holder /claimant's demat account duly stamp and signed by the counter DP | ✓ | ✓ |
| 3 | Original / Copy of Death Certificate duly attested by Notary Public/Gazetted Officer/ Judicial Magistrate 1st Class and also attested by nominee / claimant | ✓ | ✓ |
| 4 | Original Demat Statement duly attested by nominee / claimant/ surviving holder | ✓ | ✓ |
| 5 | KYC status of the nominee / claimant /surviving holder /legal heir shall be registered /validated | ✓ | ✓ |
| 6 | Nomination Form or Nomination Opt-Out Form, duly completed and signed, is required if the claimant/nominee has not already registered a nomination or opted out of nomination in the target demat account maintained with DGFSL. | ✓ | ✓ |
| 7 | FATCA-CRS declaration form as per SEBI prescribed format – Part C of **Annexure 3** | ✓ | ✓ |
| 8 | Copy of Birth Certificate or School leaving certificate/ Passport or Aadhar attested by guardian (in case the nominee/claimant/legal heir is a minor) | ✓ | ✓ |
| 9 | KYC of the Guardian (in case of nominee /claimant being a minor / of unsound mind) | ✓ | ✓ |
| 10 a.* | Notarised indemnity bond indemnifying the DP - **Annexure 4**<br><br>**Note: Shall be executed on a non-judicial stamp paper of appropriate value of the state where the claimant resides and notarized and attested by Gazetted Officer or Judicial Magistrate First Class (JMFC).** | ✓ | N.A. |
| 10 b. | Notarised affidavit-cum-NOC from all legal heirs confirming identification and claim of legal ownership to the securities and no objection - **Annexure 5**<br><br>**Note: Shall be executed on a non-judicial stamp paper of appropriate value of the state where the claimant resides and notarized and attested by Gazetted Officer or Judicial Magistrate First Class (JMFC).** | ✓ | N.A. |

| | | | |
|---|---|---|---|
| **OR** | | | |
| 10 c. | Copy of family settlement deed executed by all legal heirs, duly attested by a Notary Public, Gazetted officer or accepted and approved by a magistrate, Judge or Civil Court. | ✓ | **N.A.** |
| 10 d. | In case the claimant submits any court issued documents viz., Succession certificate or Probate of Will or Letter of Administration or Court Decree, submission of indemnity bond (**Annexure 4**) and affidavit cum NOC (**Annexure 5)** is not required. | ✓ | **N.A.** |
| **For de-activation of deceased holder(s)/nominee PAN in KRA** | | | |
| 11 | PAN card copy of the deceased holder(s) /nominee duly attested by nominee/ surviving joint holder /claimant / legal heir (As applicable) | ✓ | ✓ |
| 12 | Declaration Form along with self-attested PAN card copy and aadhar card of nominee/surviving holder /claimant / legal heir. (As applicable) | ✓ | ✓ |

**Note:**

- In cases involving death of an investor outside India, 'proof of death' document is issued by an authority outside the country. In such cases, the DP shall accept the certified true copy of the document issued for 'proof of death', certified in the country of its issuance through any one of the following modes:
  – Court Magistrate or Judge or Notary Public in the country of issuance
  – Consularisation by Indian Embassy/ Consulate General in the country of issuance
  – apostilled
  – Certification by authorised officials of overseas branches of Scheduled Commercial Banks registered in India
  – Certification by authorised officials of branches of overseas banks with whom Indian banks have correspondent banking relationships.
- In case the original death certificate is issued in a language other than English, the claimant /nominee / surviving holder shall also submit a self-certified copy of translation of death certificate into English along with certified copy of the original death certificate.
- The nominee(s) / claimant(s) that receives the securities as a trustee on behalf of legal heirs. The DP / Depository is discharged from liability after transmission.

# Documentation Requirement under claims exceeding the simplified documentation threshold category for Transmission of Securities for holding valuation Above Rs.30 Lacs

**Documentation Checklist**

| Sr. No. | Document required | Where No Nomination (Documents required from claimant (duly signed / executed) | Where Nomination has been made |
|---|---|---|---|
| 1 | Transmission request form- **Annexure 3** | ✓ | ✓ |
| 2 | Latest Client Master Report (CMR) of the nominee /surviving holder/ claimant's demat account duly stamp and signed by the counter DP | ✓ | ✓ |
| 3 | Original / Copy of Death Certificate duly attested by Notary Public/Gazetted Officer/ Judicial Magistrate 1st Class and also attested by nominee / claimant | ✓ | ✓ |
| 4 | Original Demat Statement duly attested by nominee / claimant/ surviving holder | ✓ | ✓ |
| 5 | KYC status of the nominee /claimant /surviving holder/ legal heir shall be registered /validated | ✓ | ✓ |
| 6 | Nomination Form or Nomination Opt-Out Form, duly completed and signed, is required if the claimant/nominee has not already registered a nomination or opted out of nomination in the target demat account maintained with DGFSL**.** | ✓ | ✓ |
| 7 | FATCA-CRS declaration form as per SEBI prescribed format – **Part C of Annexure 3** | ✓ | ✓ |
| 8 | Copy of Birth Certificate or School leaving certificate/ Passport or Aadhar attested by guardian (in case the nominee/claimant/legal heir is a minor) | ✓ | ✓ |
| 9 | KYC of the Guardian (in case of nominee /claimant being a minor / of unsound mind) | ✓ | ✓ |
| 10 a | Notarized affidavit –cum –NOC from all legal heirs confirming identification and claim of legal ownership to the securities and no objection - **Annexure 5**<br><br>**Note: Shall be executed on a non-judicial stamp paper of appropriate value of the state where the claimant resides and notarized and attested by Gazetted Officer or Judicial Magistrate First Class (JMFC).** | ✓ | **N.A.** |
| 10 b | Certified copy of Will as may be applicable in terms of Indian Succession Act, 1925,along with a notarized indemnity bond from the legal heir(s)/claimant(s) to whom the securities have to be transmitted, as **Annexure 4**<br><br>**Note: Shall be executed on a non-judicial stamp paper of appropriate value of the state where the claimant resides and notarized and attested by Gazetted Officer or Judicial Magistrate First Class (JMFC).** | ✓ | **N.A.** |

| | | | |
|---|---|---|---|
| **OR** | | | |
| 10 c | Certified Legal Heirship Certificate or its equivalent issued by relevant authority which will mean a revenue authority not below the rank of a Tehsildar or equivalent authority, along with a notarized indemnity bond from the legal heir (s) / claimant (s) to whom the securities have to be transmitted, as **Annexure 4**<br><br>**Note: Shall be executed on a non-judicial stamp paper of appropriate value of the state where the claimant resides and notarized and attested by Gazetted Officer or Judicial Magistrate First Class (JMFC).** | ✓ | **N.A.** |
| **OR** | | | |
| 10 d | Copy of Succession certificate or Letter of Administration or Court Decree | ✓ | **N.A.** |
| **For de-activation of deceased holder PAN in KRA** | | | |
| 11 | PAN card copy of the deceased holder duly attested by nominees/ surviving joint holder /claimant / legal heir | ✓ | ✓ |
| 12 | Declaration Form along with self-attested PAN card copy and aadhar card of nominee/surviving holder /claimant / legal heir. | ✓ | ✓ |

**Note:**

- In cases involving death of an investor outside India, 'proof of death' document is issued by an authority outside the country. In such cases, the entity shall accept the certified true copy of the document issued for 'proof of death', certified in the country of its issuance through any one of the following modes:
  - Court Magistrate or Judge or Notary Public in the country of issuance
  - Consularisation by Indian Embassy/ Consulate General in the country of issuance
  - apostilled
  - Certification by authorised officials of overseas branches of Scheduled Commercial Banks registered in India.
  - Certification by authorised officials of branches of overseas banks with whom Indian banks have correspondent banking relationships.
- In case the original death certificate is issued in a language other than English, the claimant shall also submit a self-certified copy of translation of death certificate into English along with certified copy of the original death certificate.
- The nominee(s) / claimant(s) that receives the securities as a trustee on behalf of legal heirs. The DP / Depository is discharged from liability after transmission.

# Documentation Requirement In case of Surviviorship (Death of one of the joint holder/s)

**Documentation Checklist**

| Sr. No. | Document required | Surviving holder has to continue with existing demat account |
|---|---|---|
| 1 | Transmission Request form for Deletion of name of deceased Holder in Joint Account - **Annexure 7.2** | ✓ |
| 2 | Original Cancel cheque / Bank Statement /Passbook copy having surviving BO name, Account number, MICR, IFSC pre-printed on it along with Signed and Complete **Annexure 7.2** Form | ✓ |
| 3 | Change in signature (Due to death of one of the holders) along with Signed and Complete **Annexure 7.2 Form** | ✓ |
| 4 | Original / Copy of Death Certificate duly attested by Notary Public/Gazetted Officer/ Judicial Magistrate 1st Class and also attested by joint surviving holder | ✓ |
| 5 | Original Demat Statement duly attested by surviving holder | ✓ |
| 6 | Fresh KYC form along with self-attested copy of pan card and aadhar card and account modification form of surviving holder if the KYC is not registered/ validated | ✓ |
| 7 | Fresh Nomination Form or Nomination Opt-Out Form along with account modification form, duly completed and signed by the joint surviving holder with nominee photo ID proof**.** | ✓ |
| 8 | PAN card and aadhar card copy of the deceased holder(s) duly attested by surviving joint holder | ✓ |
| 9 | Declaration Form along with self-attested PAN card copy and aadhar card of surviving holder | ✓ |
| 10 | Fresh DDPI and LGT Wealth POA (Applicable where DDPI / POA is registered in deceased demat account) | ✓ |

**Note:**

- In cases involving death of an investor outside India, 'proof of death' document is issued by an authority outside the country. In such cases, the DP shall accept the certified true copy of the document issued for 'proof of death', certified in the country of its issuance through any one of the following modes:
  – Court Magistrate or Judge or Notary Public in the country of issuance
  – Consularisation by Indian Embassy/ Consulate General in the country of issuance
  – Apostilled
  – Certification by authorised officials of overseas branches of Scheduled Commercial Banks registered in India
  – Certification by authorised officials of branches of overseas banks with whom Indian banks have correspondent banking relationships.
- In case the original death certificate is issued in a language other than English, the claimant /nominee / surviving holder shall also submit a self-certified copy of translation of death certificate into English along with certified copy of the original death certificate.
- The Transmission Request Form for Deletion of Name of Deceased Holder in Joint Account (**Annexure 7.2),**to be submitted by the surviving holder(s), is applicable only where the date of death of the deceased account holder is within 365 days from the date of submission of the transmission request.

**In cases where the date of death exceeds 365 days, the surviving holder(s) shall be required to open a new demat account in the same order of names as held in the existing account and submit a Transmission Request Form along with the prescribed supporting documents for effecting the transmission of securities from the existing account to the newly opened account.**

**Documentation Checklist**

| Sr. No. | Document required | In case of Survivorship were Date of Death of one of the joint holder/s) is more than 365 Days |
|---|---|---|
| 1 | Transmission request form- **Annexure 3** | ✓ |
| 2 | Original / Copy of Death Certificate duly attested by Notary Public/Gazetted Officer/ Judicial Magistrate 1st Class and attested by joint surviving holder | ✓ |
| 3 | Latest Client Master Report (CMR) of the surviving holder demat account duly stamp and signed by the counter DP | ✓ |
| 4 | Original Demat Statement duly attested by surviving holder | ✓ |
| 5 | Fresh KYC form along with self-attested copy of pan card and aadhar card and account modification form of surviving holder if the KYC is not registered/ validated | ✓ |
| 6 | PAN card and aadhar card copy of the deceased holder(s) duly attested by surviving joint holder | ✓ |
| 7 | Declaration Form along with self-attested PAN card copy and aadhar card of surviving holder | ✓ |